

29 OFFICE OF THE SECRETARY OF STATE

**250 BUREAU OF CORPORATIONS, ELECTIONS AND COMMISSIONS
DIVISION OF CORPORATIONS**

**Chapter 401: ADMINISTRATIVE RULES FOR UNIFORM COMMERCIAL CODE, TITLE 11,
ARTICLE 9-A**

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Section 1. General Provisions

- 100 Definitions.** Terms used in these filing-office rules but not defined in this Section that are defined in the UCC shall have the respective meanings accorded these terms in the UCC.
- A. “Active Record” means a UCC record that has been stored in the UCC information management system and indexed in, but not yet removed from, the searchable indexes, because it has not reached the one-year anniversary of its lapse date.
 - B. “Address” means either (i) a street address, route number (may include box) or PO Box number plus the city, state and zip code, or (ii) an address that purports to be a mailing address outside the United States of America.
 - C. “Amendment Statement” means a UCC record that amends the information contained in a financing statement. Amendments include assignments, continuations and terminations.
 - D. “Assignment Statement” is an amendment that assigns all or a part of a secured party’s power to authorize an amendment to a financing statement.
 - E. “Division” means the Division of Corporations, UCC & Commissions of the Maine Department of the Secretary of State, Bureau of Corporations, Elections and Commissions.
 - F. “Expedited Request” means the delivery of a request for an expedited search as further defined in subsection 105.
 - G. “Filing office” and “filing officer” mean the Maine Department of the Secretary of State.
 - H. “Filing officer statement” means a statement entered into the filing office’s UCC information management system to correct an error made by the filing office.
 - I. “Information statement” means a UCC record that indicates that a financing statement is inaccurate or wrongfully filed.
 - J. “Initial financing statement” means a UCC record that causes the filing office to establish the initial record of filing of a financing statement.
 - K. “Remitter” means a person who tenders a UCC record to the filing officer for filing, whether the person is a filer or an agent of a filer responsible for tendering the record for filing. “Remitter” does not include a person responsible merely for the delivery of the record to the filing office, such as the postal service or a courier service but does include a service provider who acts as a filer’s representative in the filing process.
 - L. “Searchable indexes” means the searchable index of individual debtor names and the searchable index of organization debtor names maintained in the UCC information management system.
 - M. “Secured party of record” includes a secured party of record as defined in the UCC as well as a person who has been a secured party of record with respect to whom an amendment has been filed purporting to delete them as a secured party of record. The term includes the assignor listed on an amendment that purports to be an assignment.

- N. “UCC” means the Uniform Commercial Code as adopted in this State.
- O. “UCC information management system” means the information management system used by the filing office to store, index, and retrieve information relating to financing statements as described in Section 3 of these rules.
- P. “UCC record” means an initial financing statement, an amendment, an assignment, a continuation statement, a termination statement, a filing officer statement or an information statement, and includes a record thereof maintained by the filing office. The term shall not be deemed to refer exclusively to paper or paper-based writings.
- Q. “Unlapsed record” means a UCC record that has been stored and indexed in the UCC information management system, but has not yet lapsed under UCC Section 9-1515 with respect to all secured parties of record.

101 Means to deliver UCC records; time of filing. UCC records may be tendered for filing at the filing office as follows.

- A. **Personal delivery by remitter, at the filing office’s street address.** The file time for a UCC record delivered by this method is, notwithstanding the time of delivery, 5 p.m. on the day of delivery.
- B. **Courier delivery by a person other than a remitter, at the filing office’s street address.** The file time for a UCC record delivered by this method is, notwithstanding the time of delivery, 5 p.m. following the time of delivery (even though the UCC record may not yet have been accepted for filing and may be subsequently rejected). A UCC record delivered after regular business hours or on a day the filing office is not open for business will have a filing time of the close of business on the next day the filing office is open for business.
- C. **Postal service delivery, to the filing office’s mailing address.** The file time for a UCC record delivered by this method is, notwithstanding the time of delivery, 5 p.m. on the day of delivery (even though the UCC record may not yet have been accepted for filing and may be subsequently rejected). A UCC record delivered after regular business hours or on a day the filing office is not open for business will have a filing time of the close of business on the next day the filing office is open for business.
- D. **Electronic filing, using the filing office’s online UCC filing system.** The file time for a UCC record delivered by this method is the time the filing office’s system analyzes the relevant transmission and determines that all the required elements of the transmission have been received in the required format and are machine readable.
- E. **Means of communication.** Regardless of the method of delivery, information submitted to the UCC filing office must be communicated only in the standard, printable ASCII (i.e. American Standard Code for Information Interchange) character set, or it will be handled pursuant to subsection 406 of these rules. A financing statement or amendment form that does not designate separate fields for organization and individual names, and separate fields for the surname, first personal name, additional name(s)/initial(s) and suffixes for individual names is not an acceptable means of communication to the filing office.

- F. **Transmitting utility, manufactured homes and public-finance transactions.** The only means to indicate to the filing office that an initial financing statement is being filed in connection with a manufactured-home or public-finance transaction, or that a financing statement is being or has been filed against a debtor that is a transmitting utility, is to check the appropriate box on a UCC1 Financing Statement or to transmit the requisite information in the proper field in an electronic filing of an initial financing statement.
- 102 Search request delivery.** UCC search requests may be delivered to the filing office by any of the means by which UCC records may be delivered to the filing office. Additionally, search requests may be delivered to the filing office by fax transmission. The requestor must submit a Maine UCC Information Request form for each debtor name to be searched, as provided in Section 5 of these rules.
- 103 Approved forms.** The forms prescribed by 11 MRSA §9-1521 are accepted by the filing office. Other forms will not be accepted by the filing office.
- 104 Filing fees.** The fees for filing and indexing a UCC record or processing a UCC search request are prescribed by 11 MRSA §9-1525.
- 105 Expedited services and fees.** Expedited services are available for UCC search requests only. Requests for expedited service must be made on the Maine UCC Information Request form. The services and fees are as follows.
- A. **Same-day expedited service.** To receive same-day expedited service, the request must be submitted to the filing office between 8 a.m. and 3 p.m. on a day that the office is open for business, and the search will be processed by 5 p.m. on that day. A request submitted between 3 p.m. and 5 p.m. on a day that the office is open for business will be processed by 10 a.m. of the following business day. The fee for same-day expedited service is \$25.00 per debtor requested.
- B. **Next-day expedited service.** To receive next-day expedited service, the request must be submitted to the filing office between 8 a.m. and 5 p.m. on a day that the office is open for business, and the search will be processed by 5 p.m. on the next business day. The fee for next-day expedited service is \$10.00 per debtor requested.
- 106 Methods of payment.** All fees related to UCC records may be paid by the following methods.
- A. **Cash.** Payment in cash shall be accepted if paid in person at the filing office.
- B. **Checks.** Personal checks, cashier's checks and money orders made payable to the filing office shall be accepted for payment provided that the drawer (or the issuer in the case of a cashier's check or money order) is deemed creditworthy by the filing office in its discretion.
- C. **Debit and credit cards.** The filing office shall accept payment by debit and credit cards issued by approved issuers. Remitters shall provide the filing officer with the card number, the expiration date of the card, the name of the card issuer, the name of the person or entity to whom the card was issued and the billing address for the card. Payment will not be deemed tendered until the issuer or its agent has confirmed payment.

- D. **Subscription Accounts.** The Information Resource of Maine (InforME) may offer additional payment methods for its subscribers.

107 Overpayment and underpayment policies.

- A. **Overpayment.** The filing officer shall refund the amount of an overpayment of \$5.00 or more to the remitter as provided by policy of the State Controller adopted pursuant to 5 MRSA §1543.
- B. **Underpayment.** Upon receipt of a UCC record with an insufficient fee, the filing officer shall return the document to the remitter as provided in Section 203 of these rules.

108 Public records services and fees. Public records services include the following methods by which any member of the public may obtain copies of UCC records and data from the UCC information management system. Public record services do not include search requests as described in Section 5 of these rules. The following methods are available for obtaining copies of UCC records and copies of data from the UCC information management system:

- A. **Bulk copies of records.** Bulk copies of UCC records are available on CD-ROM or via ftp. The fee for obtaining UCC records by this method is \$.10 per record.
- B. **Data from the information management system.** A list of available data elements from the UCC information management system and the file layout of the data elements are available from the filing office upon request. Extracts of data from the UCC information management system are available on CD-ROM or via ftp as follows:
- 1) **Full extract.** A bulk data extract of information from the UCC information management system is available on a weekly or on an as requested basis. The fee for obtaining UCC records by this method is \$600 per month or one-time download of the entire data file, plus \$600 per month or one-time download of the entire image file.
 - 2) **Update extracts.** Updates of information from the UCC information management system are available on an as requested basis. Costs will vary based on the number of records requested via this method.

Section 2. Acceptance and Refusal of UCC Records

200 Role of filing officer. The duties and responsibilities of the filing officer with respect to the administration of the UCC are ministerial. In accepting for filing or refusing to file a UCC record pursuant to these rules, the filing officer does not determine the legal sufficiency or insufficiency of the UCC record, determine that information in the record is correct or incorrect, in whole or in part, or create a presumption that information in the UCC record is correct or incorrect, in whole or in part.

201 Time for filing a continuation statement.

- A. **First day permitted.** The first day on which a continuation statement may be filed is the day of the month corresponding to the date upon which the related financing statement would lapse, six months preceding the month in which the financing statement would lapse. If there is no such corresponding date, the first day on which a continuation statement may be filed is the last day of the sixth month preceding the month in which the financing statement would

lapse. This section is subject to the ability of the filing office to take delivery of the continuation statement as tendered, and to subsection 101.

- B. **Last day permitted.** The last day on which a continuation statement may be filed is the date upon which the related financing statement lapses. This section is subject to the ability of the filing office to take delivery of the continuation statement as tendered, and to subsection 101. Accordingly, the time of filing of the continuation statement under subsection 101 must be on or prior to the last day and delivery by certain means of communication may not be available on the last day if the filing office is not open for business on that day.

- 202 Grounds for refusal of UCC records.** In addition to refusing a record for any reason, or multiple reasons, as provided by 11 MRSA §9-1516, a filing office shall refuse to accept a UCC record that does not provide an address that meets the minimum requirements, as provided in subsection 100.B of these rules.
- 203 Procedure upon refusal.** Except as provided in subsection 107, if the filing officer finds grounds to refuse a UCC record, the filing officer shall refund the filing fee. Communication of the refusal, the reason(s) for the refusal and other related information will be made to the remitter as soon as practicable and in any event within two business days after the refused UCC record was received by the filing office, by the same means as the means by which such UCC record was delivered to the filing office, or by mail or such more expeditious means as the filing office shall determine.
- 204 Refusal errors.** If a secured party or a remitter demonstrates to the satisfaction of the filing officer that a UCC record that was refused for filing should not have been refused under subsection 202, the filing officer will file the UCC record with the filing date and time the UCC record was originally tendered for filing. A filing officer statement record relating to the relevant initial financing statement will be placed in the UCC information management system on the date that the corrective action was taken. The filing officer statement must provide the date of the correction and explain the nature of the corrective action taken. The record shall be preserved for so long as the record of the initial financing statement is preserved in the UCC information management system.
- 205 Notification of defects.** Nothing in these rules prevents a filing officer from communicating to a filer or a remitter that the filing officer noticed apparent potential defects in a UCC record, whether or not it was filed or refused for filing. However, the filing office is under no obligation to do so and may not, in fact, have the resources to do so or to identify such defects. The responsibility for the legal effectiveness of filing rests with filers and remitters and the filing office bears no responsibility for such effectiveness.
- 206 Acknowledgment.** When a filer or remitter files a paper UCC record and completes the acknowledgment field on the form, including a name and complete mailing address, the filing officer shall send to said filer or remitter an image of the UCC record showing the file number assigned to it and the date and time of filing. For UCC documents not filed in paper form, the filing officer shall communicate to the filer or remitter the information in the filed record, the file number and the date and time of filing.

Section 3. UCC Information Management System

300 General. The filing officer uses a UCC information management system to store, index, and retrieve information relating to financing statements. The UCC information management system includes an index of the names of debtors included on financing statements that are active records. This section describes the UCC information management system.

301 Primary data elements. The primary data elements used in the UCC information management system are the following.

A. Identification numbers.

- 1) Each initial financing statement is identified by a unique file number assigned by the filing officer. The file number of the initial financing statement is stamped on written UCC records or otherwise permanently associated with the record maintained in the UCC information management system. A record is created in the UCC information management system for each initial financing statement and all information comprising such record is maintained in the system. The record is identified by the same information assigned to the initial financing statement.
- 2) A UCC record other than an initial financing statement is identified by a unique file number assigned by the filing officer. In the UCC information management system, all UCC records other than initial financing statements are linked to the record of their related initial financing statement.

B. Type of record. The type of UCC record from which data is transferred is identified in the UCC information management system from information supplied by the remitter.

C. Filing date and filing time. The filing date and filing time of UCC records are stored in the UCC information management system. Calculation of the lapse date of an initial financing statement is based upon the filing date.

D. Identification of parties. The names and addresses of debtors and secured parties are transferred from UCC records to the UCC information management system.

E. Page count. The total number of pages in a UCC record is maintained in the UCC information management system.

F. Lapse indicator. An indicator is maintained by which the UCC information management system identifies whether or not a financing statement will lapse and, if it does, when it will lapse. The lapse date is determined as provided in subsections 306, 307 and 308.

G. Indexes of names. The filing office maintains in the UCC information management system a searchable index of organization debtor names, and a searchable index of individual debtor names.

302 Individual debtor names. For purposes of this rule, an “individual debtor name” is any name provided as a debtor name in a UCC record in a format that identifies the name as that of a debtor who is an individual, without regard to the nature or character of the name or to the nature or character of the actual debtor.

- A. **Individual name fields.** Individual debtor names are stored in files that include only the individual debtor names, and not organization debtor names. Separate data entry fields are established for surnames (last or family names), first personal names (given), and additional name(s)/initial(s) of individuals. The name of a debtor with a single name (e.g., “Cher”) is treated as a surname and shall be entered in the individual surname field. The filing officer assumes no responsibility for the accurate designation of the components of a name but shall accurately enter the data in accordance with the filer’s designations.
- B. **Titles, prefixes and suffixes.** Titles, prefixes (e.g. “Ms.”) and suffixes or indications of status (e.g. “M.D.”) are not part of a debtor’s name and should not be provided by the filer. Suffixes used to distinguish between family members with identical names (e.g., “JR.”) should be provided in the Suffix field. However, when entering a “name” into the UCC information management system, the data will be entered exactly as they appear.
- C. **Extended debtor name field.** The Financing Statement form has limited space for individual debtor names. If any portion of the individual debtor name is too long for the corresponding field, the filer is instructed to check the box that indicates the name was too long and enter the name in item 10 of the Addendum Form UCC1AD. A filing officer shall not refuse to accept a Financing Statement that lacks debtor information in item 1 and/or item 2 if the record includes an Addendum that provides a debtor name in item 10.
- D. **Truncation of individual names.** Personal name fields in the UCC information management system are fixed in length. Although filers should continue to provide full names on their UCC records, a name that exceeds the fixed length is entered as presented to the filing officer, up to the maximum length of the data entry field. The lengths of data entry name fields are as follows.
 - 1) Surname: 100 characters.
 - 2) First personal name: 40 characters.
 - 3) Additional name(s)/initial(s): 40 characters.
 - 4) Suffix: 6 characters

303 Organization debtor names. For purposes of this rule, an “organization debtor name” is any name provided as a debtor name in a UCC record in a format that identifies the name as that of a debtor who is an organization, without regard to the nature or character of the name or to the nature or character of the actual debtor.

- A. **Single field.** Organization debtor names are stored in files that include only organization debtor names and not individual debtor names. A single field is used to store an organization debtor name.
- B. **Truncation of organization names.** The organization debtor name field in the UCC information management system is fixed in length. The maximum length is 150 characters. Although filers should continue to provide full names on their UCC records, a name that exceeds the fixed length is entered as presented to the filing officer, up to the maximum length of the organization debtor name field.

- 304 Collateral being administered by a Decedent's Personal Representative.** The debtor name to be provided on a financing statement when the collateral is being administered by a decedent's personal representative is the name of the relevant decedent. In order for the UCC information management system to function in accordance with the usual expectations of filers and searchers, the filer should provide the debtor name as an individual debtor name. However, the filing office will enter data submitted by a filer in the fields designated by the filer exactly as it appears in such fields.
- 305 Collateral held in a Trust.** The debtor name to be provided when the collateral is held in a trust that is not a registered organization is the name of the trust as set forth in its organic record(s), if the trust has such a name or, if the trust is not so named, the name of the trust's settlor. In order for the UCC information management system to function in accordance with the usual expectations of filers and searchers, the name of a trust or of a settlor that is an organization should be provided as an organization debtor name, and the name of a settlor who is an individual should be provided as an individual debtor name, in each case without regard to the nature or character of the debtor. Notwithstanding the foregoing, the filing office will enter data submitted by a filer in the fields designated by the filer exactly as it appears in such fields.
- 306 Initial financing statement.** Upon the filing of an initial financing statement the status of the parties and the status of the financing statement shall be as follows.
- A. **Status of secured party.** Each secured party named on an initial financing statement shall be a secured party of record, except that if the UCC record names an assignee, the secured party/assignor shall not be a secured party of record and the secured party/assignee shall be a secured party of record.
 - B. **Status of debtor.** Each debtor name provided by the initial financing statement shall be indexed in the UCC information management system so long as the financing statement is an active record.
 - C. **Status of financing statement.** The financing statement shall be an active record. A lapse date shall be calculated, five years from the file date, unless (i) the initial financing statement indicates as provided in subsection 101.F that it is filed with respect to a public-financing transaction or a manufactured-home transaction, in which case the lapse date shall be thirty years from the file date, or (ii) the initial financing statement indicates as provided in subsection 101.F that it is filed against a transmitting utility, in which case there shall be no lapse date.
- 307 Amendments generally.** Upon the filing of an amendment the status of the parties shall be unchanged, except that in the case of an amendment that adds a debtor or a secured party, the new debtor or secured party shall be added to the appropriate index and associated with the record of the financing statement in the UCC information management system, and an amendment that designates an assignee shall cause the assignee to be added as a secured party of record with respect to the affected financing statement in the UCC information management system. Notwithstanding the filing of an amendment that deletes a debtor or a secured party from a financing statement, no debtor or secured party of record is deleted from the UCC information management system. A deleted secured party will still be treated by the filing office as a secured party of record as the filing office cannot verify the effectiveness of an amendment. In general, the filing of an amendment does not affect the status of the financing statement.

308 Continuation statement.

- A. **Continuation of lapse date.** Upon the timely filing of one or more continuation statements by any secured party(ies) of record, the lapse date of the financing statement shall be postponed for five years. The lapse date is postponed once notwithstanding the fact that more than one continuation statement is filed within a given 6-month period prior to a lapse date. Notwithstanding the immediate postponement of the lapse date with respect to one or more secured parties of record who file timely a continuation statement within a given 6-month period prior to a lapse date, such lapse date remains effective solely for purposes of determining whether or not a subsequent continuation statement filed in the same 6-month period is timely.
- B. **Status.** The filing of a continuation statement shall have no effect upon the status of any party to the financing statement or upon the status of the financing statement.

309 Termination statement. The filing of a termination statement shall have no effect upon the status of any party to the financing statement or upon the status of the financing statement.

310 Information statement. The filing of an information statement shall have no effect upon the status of any party to the financing statement, the status of the financing statement or to the information maintained in the UCC information management system.

311 Filing officer statement. A filing officer statement affects the status of parties and of the relevant financing statement as provided in the corrective action described as having been taken in the filing officer statement.

312 Procedure upon lapse. If there is no timely filing of a continuation with respect to a financing statement, the financing statement lapses on its lapse date but no action is then taken by the filing office.

313 Removal of record. A financing statement must remain as an active record until at least one year after it lapses, or if it is indicated to be filed against a transmitting utility, until at least one year after it is terminated with respect to all secured parties of record. On or after the first anniversary of such lapse or termination date, the filing office or the UCC information management system may remove the financing statement and all related UCC records from the Searchable Indexes or from the UCC information management system and upon such removal, the removed UCC Records shall cease to be active records.

Section 4. Filing and Data Entry Procedures

400 Errors of the filing office. The filing office may correct data entry and indexing errors of filing office personnel in the UCC information management system at any time. If a correction is made to a record of a financing statement after the filing office has issued a search report with a through date and time (see subsection 505.B.4) that is on or after the filing date and time of the financing statement, the filing office will associate with the record of the financing statement in the UCC information management system a filing officer statement on the date that the corrective action was taken providing the date and an explanation of the correction.

401 Data entry. Data are entered into the UCC information management system exactly as provided in a UCC record, without regard to apparent errors. Data provided in electronic form is transferred to the UCC information management system exactly as submitted by the remitter.

- 402 Verification of data entry.** The filing office will verify accuracy of the data from UCC records entered in accordance with subsection 401 into the UCC information management system. Data entry performed by remitters with respect to electronically filed UCC records is the responsibility of the remitter and is not verified by the filing office.
- 403 Master amendments.** The filing office will not accept master or global amendments of secured party names or addresses, or assignments.
- 404 Notice of bankruptcy.** The filing officer shall take no action upon receipt of a notification, formal or informal, of bankruptcy proceeding involving a debtor named in the UCC information management system.
- 405 Redaction.** The filing officer is not obliged to redact any information from the information it provides to searchers and bulk data purchasers. Therefore, the filer should not include information that is not required to be filed on a UCC record.
- 406 Use of other than standard, printable ASCII characters.** If a UCC record contains any characters other than those included in the standard, printable ASCII character set as required by subsection 101.E, the filing office will replace those characters with a space when entering the UCC record into the UCC information management system.

Section 5. Search Requests and Reports

- 500 General requirements.** The filing officer maintains for public inspection a searchable index for all active records in the UCC information management system. Active records will be retrievable by the name of the debtor or by the file number of the related initial financing statement, and each active record related to an initial financing statement is retrieved with the initial financing statement using either retrieval method.
- 501 Search requests – required information.** Search requests shall include the following:
- A. **Name searched.** A search request must set forth the name of the debtor to be searched using designated fields for organization or individual surname, first personal name and additional name(s)/initial(s). A search request will be processed using the data and designated fields exactly as submitted, including the submission of no data in a given field, without regard to the nature or character of the debtor that is subject of the search.
 - B. **Requesting party.** A search request must set forth the name and address of the person to whom the search results is to be sent.
 - C. **Fee.** The appropriate fee shall be tendered by a method described in subsection 106.
- 502 Search requests - optional information.** Search requests may include the following:
- A. **Copies.** The request may limit the copies of UCC records that would normally be provided with a search report by requesting that no copies be provided or that copies be limited to those UCC records that:
 - 1) include a particular city in the debtor address; or

2) were filed on a particular date or within a particular range of dates.

B. **Scope of search.** A search request may ask for a search that reports all active records retrieved by the search rather than only unexpired records retrieved by the search.

C. **Mode of delivery.** A search request may specify a mode of delivery for search results and that request will be honored if the requested mode is made available by the filing office, and all requisite fees are tendered.

503 Search methodology. Search results are produced by the application of search logic to the name presented to the filing officer. Human judgment does not play a role in determining the results of the search.

A. **Standard search logic.** The following rules describe the filing office's standard search logic and apply to all searches except for those where the search request specifies that a non-standard search logic be used:

- 1) There is no limit to the number of matches that may be returned in response to the search criteria.
- 2) No distinction is made between upper and lower case letters.
- 3) The character "&" (the ampersand) is deleted and replaced with the characters "and" each place it appears in the name.
- 4) Punctuation marks and accents are disregarded. For the purposes of this rule, punctuation and accents include all characters other than the numerals 0 through 9 and the letters A through Z (in any case) of the English alphabet.
- 5) Words and abbreviations at the end of an organization name that indicate the existence or nature of the organization are not disregarded by the filing office's programming of its UCC information management system.
- 6) The word "the" at the beginning of an organization debtor name is disregarded.
- 7) All spaces are disregarded.
- 8) For first personal name and additional name(s)/initial(s) of individual debtor names, initials are treated as the logical equivalent of all names that begin with such initials, and first personal name and no additional name(s)/initial(s) is equated with all additional name(s)/initial(s). For example, a search request for "John A. Smith" would cause the search to retrieve all filings against all individual debtors with "John" or the initial "J" as the first personal name, "Smith" as the surname, and with the initial "A" or any name beginning with "A" in the additional name(s)/initial(s) field. If the search request were for "John Smith" (first personal name and surnames with no designation in the additional name(s)/initial(s) field), the search would retrieve all filings against individual debtors with "John" or the initial J as the first personal name, "Smith" as the surname and with any name or initial or no name or initial in the additional name(s)/initial(s) field.
- 9) If the name being searched is the surname of an individual debtor name without any first personal name or additional name(s)/initial(s) provided, the search will retrieve from the

UCC information management system all financing statements with individual debtor names that consist of only the surname.

- 10) After using the preceding rules to modify the name being searched, the search will retrieve from the UCC information management system all unexpired records, or, if requested by the searcher, all active records, that pertain to financing statements with debtor names that, after being modified as provided in this section, exactly match the modified name being searched.

504 Changes in standard search logic. If the filing office changes its standard search logic or the implementation of its standard search logic in a manner that could alter search results, the filing office will provide public notice of such change.

505 Search responses. Responses to a search request shall include the following:

- A. **Copies.** Copies of all UCC records retrieved by the search unless only limited copies are requested by the searcher.
- B. **Introductory information.** A filing officer shall include the following information with a UCC search response:
 - 1) **Filing office identification.** Identification of the filing office responsible for the search response.
 - 2) **Unique search report identification number.** The unique number which identifies the search report.
 - 3) **Report date and time.** The date and time the report was generated.
 - 4) **Through date and time.** The date and time at or prior to which a UCC record must have been filed with the filing office in order for it to be reflected on the search.
 - 5) **Certification language.** Certification language will be included when a certified search is requested.
 - 6) **Scope of search.** An indication of whether the search includes active or unexpired records.
 - 7) **Search logic used.** The IACA Recommended Standard Search Logic will be used in all cases unless a specific search request dictates otherwise.
 - 8) **Name provided.** The name as provided by the searcher.
 - 9) **Search string.** The normalized name as provided by subsection 503.
 - 10) **Lien type searched.** UCC or other type of documents searched.
 - 11) **Copies.** An indication of whether the search includes any or all copies.

C. **Report.** The search report shall contain the following.

- 1) **Identification.** Identification of the filing office responsible for the search report.
- 2) **Search report identification number.** The unique number assigned under subsection 505.B.2.
- 3) **Identification of financing statement.** Identification of each initial financing statement, including a listing of all related amendments, information statements, or filing officer notices, filed on or prior to the through date corresponding to the search criteria (including whether the searcher has requested active records or only unlapsed records). Financing statement information shall include, but is not limited to the following:
 - i. **Initial financing statement file number.** The file number of the initial financing statement.
 - ii. **Initial financing statement filing date and time.** The date and time the initial financing statement was filed.
 - iii. **Lapse date.** The lapse date for the UCC record.
 - iv. **Debtor name.** The debtor name(s) that appear(s) of record.
 - v. **Debtor address.** The debtor address(es) that appear(s) of record.
 - vi. **Secured party name.** The secured party name(s) that appear(s) of record.
 - vii. **Secured party address.** The secured party address(es) that appear(s) of record.
 - viii. **Amendment type.** An indication of type of each amendment, if any.
 - ix. **Amendment filing date and time.** The date and time each amendment, if any, was filed.
 - x. **Amendment file number.** The amendment file number of each amendment, if any.
 - xi. **Information statement filing date and time.** The date and time an information statement, if any, was filed.
 - xii. **Filing officer statement filing date and time.** The date and time a filing officer statement, if any, was filed.

Section 6. Other Notices of Liens

Other liens, created pursuant to statutes other than the Uniform Commercial Code, are recorded and maintained in the same UCC information management system by the filing office. Search requests are handled in the same manner as described in subsection 505 and filing fees are described in subsection 104.

STATUTORY AUTHORITY: 11 MRSA §9-1526

EFFECTIVE DATE: October 21, 2013